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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/884,311

06/19/2001

Steven B. Adler

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EXAMINER

HERRING, VIRGIL A

ART UNIT

PAPER NUMBER

2132

MAIL DATE

DELIVERY MODE

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PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 09/884,311	<b>Applicant(s)</b> ADLER ET AL.	
	<b>Examiner</b> VIRGIL HERRING	<b>Art Unit</b> 2132	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 25 April 2008.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-3 and 19 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-3 and 19 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                     | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

### **DETAILED ACTION**

This action is in response to the Request for Continued Examination filed 25 April 2008. Claims 12-17, 21, and 22 are cancelled by this amendment, and claims 4-11, 18, and 20 were previously cancelled. Claims 1-3 and 19 are currently pending.

### ***Response to Arguments***

Applicant's arguments filed 25 April 2008 have been fully considered but they are not persuasive.

Applicant first argued that claim 1 differs from the Benantar reference in that the rules of claim 1 "specify if and how the data subject may be provided by the first data user to the second data user," in contrast to Benantar specifying what operations each user is allowed to perform on the data subject. The examiner respectfully disagrees, noting that figure 5 and column 6, lines 54-67 indicate that the user Alice is allowed to "administer" and "control" objects in group 2, and that users in the group programmers may "control" objects in group 2. Rules specifying administration of a data object implies the ability of the first user Alice to provide the data subject to a second user.

With regards to claims 2, 3, and 19, the applicant similarly cited that the "rules" of claim 1 were not anticipated alone or in combination with either Tolopka or Gifford. The examiner respectfully disagrees, for the reason cited above.

***Claim Rejections - 35 USC § 102***

Claims 1 and 2 are rejected under 35 U.S.C. 102(b) as being anticipated by Benantar et al. (U.S. Pat. No. 5,787,427).

With respect to claim 1: The Benantar reference describes an object-oriented system that provides security for objects by grouping objects that share common control access policies.

A method, in a data processing system, for handling personally identifiable information, said method comprising:

providing, in a computer, a first set of object classes representing active entities in an information-handling process, wherein a limited number of privacy-related actions represent operations performed on data and wherein each of the active entities is a human being or legal entity [ see Figure 4, Object Group I];

providing, in said computer, a second set of object classes representing data and rules in said information-handling process, wherein at least one object class has said rules associated with said data, and wherein said data represents said personally identifiable information [see Figure 4, Object Group 2]; and

processing transactions, in the data processing system, involving said personally identifiable information, using said computer and said first and second set of object classes, so as to enforce a privacy policy, associated with the personally identifiable information and defined by said rules, against one or more active entities represented by said first set of object classes [ see column 3, lines 1-20],

wherein each of the one or more active entities represented by said first set of object classes is a human being or legal entity [ see column 3, lines 22-43] , wherein:  
a first active entity represented by a first object class in said first set of object classes is a first data user that requests said personally identifiable information from a data subject that is a second active entity represented by a second object class in said first set of object classes,  
said data subject is an active entity that is personally identifiable by said personally identifiable information;  
a third active entity represented by a third object class in said first set of object classes is a second data user that requests personally identifiable information from said first data user, and  
said rules define if and how said personally identifiable information may be provided, by said first data user, to said second data user [ see column 5, lines 35 –50].

Further reference is made to column 6, lines 48-53.

Benantar discloses that the objects may represent various parties, see Figures 1 and 5, to address claim 2.

***Claim Rejections - 35 USC § 103***

Claim 3 is rejected under 35 U.S.C. 103(a) as being unpatentable over Benantar et al. in view of Tolopka et al. (U.S. Pat. No. 6,044,349).

The Benantar reference does not disclose an object class representing a filled paper form.

The secondary reference Tolopka teaches a storage medium for storing personal information that is subject to access control for apportion the data among authorized entities. Figure 2 shows various types of information and options for authorizing access to different groups. The information may represent a paper filled form, see column 6, lines 36-52.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to have the objects in Benantar represent paper filled forms as taught in Tolopka as a convenient manner of obtaining personal information and populating as an object, see column 6, lines 36-52.

Claim 19 is rejected under 35 U.S.C. 103(a) as being unpatentable over Benantar et al. (U.S. Pat. No. 5,787,427) in view of Gifford et al (U.S. Pat. No. 5,614,927).

The Benantar reference does not disclose transforming the personal information into a depersonalized format.

The Gifford reference teaches protection of confidential information in a database. Column 8, lines 1-8, teaches a method where the correlation between public

Art Unit: 2132

attributes and private attributes are reduced by camouflaging or outright removing some data to depersonalize the identifiable information based on rules.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to have the data in the object groups in Benantar be depersonalized, i.e. camouflaged or removed, as taught in Gifford in order to protect confidential information from being inferred from a database, see column 4, lines 17-68.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to VIRGIL HERRING whose telephone number is (571)272-8189. The examiner can normally be reached on Monday-Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on (571) 272-3799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system.

Virgil Herring  
Examiner  
Art Unit 2132

/V. H./  
Examiner, Art Unit 2132

/Gilberto Barron Jr/  
Supervisory Patent Examiner, Art Unit 2132